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ABSTRACT

A cooperative serials project was undertaken by eight members of the Association of Research Libraries to develop a regional resource sharing system for current serials. The goals of the program were to implement a cooperative serials acquisitions and deselection program and to promote a rapid and extensive interlibrary loan program through the dissemination of the participating libraries' holdings information. The first step toward the goal was conversion of serials cataloging records to machine readable form using the OCLC bibliographic utility so that records of each library's holdings could be readily available to other institutions. This report briefly describes the activities and accomplishments of the conversion effort at the University of Tennessee Library, Knoxville. The following topics are addressed: staff, equipment, planning, activities and general procedures, methodology, and statistics. Appendices, which constitute the major part of the report, include staff lists, current conversion status statistics, shelflist inventory, expenditures, and the serials project manual developed in 1981 prior to the beginning of the project. (THC)

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SOUTHEASTERN ARL LIBRARIES COOPERATIVE SERIALS PROJECT REPORT

Phase I

October 1, 1981 - December 23, 1982

University of Tennessee Library

January 14, 1983

IR051046

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Introduction

The purpose of the Southeastern ARL Libraries Cooperative Serials Project was to develop a regional resource sharing system for current serial titles among eight research libraries.

The goal of the program was to implement a cooperative serials acquisitions and deselection program and to promote a rapid and extensive interlibrary loan program through the dissemination of the participating libraries' holdings information.

The first step toward this goal was conversion of serials cataloging records to machine readable form using the OCLC bibliographic utility so that records of each library's holdings could be readily available to other institutions.

This report covers the activities and accomplishments of this conversion effort at the University of Tennessee Library, Knoxville from October 1, 1981 to December 23, 1982.

Staff

The project staff consisted of one Coordinator, one full-time Library Specialist, one half-time Library Assistant and Student Assistants during the initial period of the Project. Two of these original positions were eliminated: the half-time Library Assistant on March 21, 1982 and the full-time Library Specialist on August 31, 1982. A half-time Serials Cataloger began work on August 1, 1982 and in September of 1982, several additional Student Assistants were hired.

Changes made in Project personnel attempted to make maximum use of funds and equipment. The number of Student Assistants utilized by the project fluctuated between one and six, depending upon the availability of equipment for their use.

It was the Project Coordinator's responsibility to direct the daily operations associated with the Project and formulate plans to maintain both high production levels and high bibliographic standards. The Library Specialist worked closely with the Project Coordinator to solve bibliographic problems brought to light during the Project. The Student Assistants handled the majority of the actual conversion activities and collection of bibliographic information.

All Project staff underwent a thorough training period during which their work was reviewed and their activities were monitored, to assure the quality of converted records. See Appendix A for the list of staff and their employment period.

Equipment

An OCLC model 110 terminal and a General Electric TermiNet 1232 printer were purchased from grant funds exclusively for serial conversion. The terminal was installed on November 12, 1981 and the printer on January 6, 1982. From the date of its installation, the CRT display unit of the terminal malfunctioned frequently. Sometimes the terminal failed to communicate with the OCLC Online System. At other times the terminal communicated with OCLC, but the displayed data frequently faded out on the screen. This problem was never satisfactorily resolved, in spite of repair visits.

Fortunately, 6 existing terminals were sometimes available for project use during off-hours. Moreover, since the response time was faster and the conversion charge was lower during OCLC's non-prime time, main conversion activities occurred from 4:00 p.m. to 9:00 p.m. Monday through Friday and 9:00 a.m. to 5:00 p.m. on Saturday. The availability of additional terminals helped to pull the production level upward.

Planning

Prior to the beginning of the Project ''A Manual for General Procedures'' and ''Routine Workflows'' were compiled by the UTK Project Coordinator for staff training and future reference purposes. The ''Work Plan'' stated in the ''Subcontract ... between the University of Florida and the University of Tennessee'' and ConSer standards were incorporated into the UTK Project Manual.

Memoranda from the University of Florida (''Cooperative Serials Project: Project Staff Workflows'' and ''Conversion Experiences,'') were reviewed. Certain strategies were incorporated into the methodology of the UTK conversion project.

Project manager Elaine Woods visited UTK November 11-12, 1981 to review general conversion procedures and discuss existing or potential problems. On February 1-2, 1982, ConSer Review Coordinator Marlene Heroux also visited. Emory University in Atlanta hosted a meeting of Project Coordinators on December 16, 1981. It provided a forum for sharing mutual experiences and creating uniform standards and solutions to problems. UTK's conversion procedures were well accepted.

Activities: General procedures

The following documents Project procedures during Phase I (October 1, 1981-May 31, 1982.)

1. Student Assistants differentiated serials titles from monographic titles in the shelflist and placed red jackets on them. They searched the OCLC database for ConSer successive entries in preference to latest entries.

2. ConSer claimed records were updated after fully reviewing fixed field elements and variable field information.

3. If non-Conser records were found, the shelflist cards were clipped with red tabs indicating the need for upgrading the records to meet ConSer requirements.

4. If no records were found in the OCLC database, the shelflist cards were flagged, indicating an unsuccessful search.

5. Flagged and tabbed shelflist cards were searched in cataloging souce materials for LC cataloging information.

Phase II (June 1 to December 23, 1982) was devoted to ceased serial titles and cancelled subscriptions.[1] The previously mentioned steps were followed.

Methodology

The UTK Project operated under the assumption that all converted records would be used in the UTK online catalog in the near future.

Technically this project created a database of UTK serials holdings rather than simply adding the TKN symbol to the OCLC database records. The newly created database did not, however, duplicate existing serials cataloging at UTK.

For example, a difference in choice of entries between OCLC and UTK records was accepted, but the difference in form was verified as AACR-2 or pre-AACR2 form established by LC. All series information was checked against the local Series Authority File for proper local format and decisions. If the 300, 362, and 6xx fields were missing, this information was supplied before the records were updated.

While Student Assistants gathered missing information and verified descrepancies betwen the shelflist and database records, the Serials Cataloger made on-the-spot decisions using common sense and good judgment as to the form of entries, description of titles, or other bibliographic problems.

Serial Catalogers accepted the database information but they often had no way of substantiating it. They also interpreted titles on local shelflist cards which reflect the diversity of previous national cataloging rules such as the following: short

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[1]Betty Bengtson, UTK Associate Director for Technical Services, discussed the matter with Elaine Woods, Project Manager, over the telephone in June 1982.

titles, partial titles or truncated titles, instead of full titles; generic titles without author statements; the titles of reports without an adjective denoting the frequency of publications, etc.

All those rule variations on descriptive titles, form of entries, and title changes resulted in discrepancies between the catalog/kardex entry and the online entry. However, if bibliographic information corresponded, questions were minimized and the records were accepted.

Otherwise all potential problems such as local duplicated records and combined records with two separate titles or monographs were diligently solved through the recataloging process to avoid future conflicts between the online and card catalogs.

The Project's approach to bibliographic problems was to deal with them individually, being flexible and using good judgment. As a result, the quality of current serials cataloging was substantially improved.

Statistics

From October 1, 1981 to December 23, 1982 the UTK Cooperative Serials Project converted 22,569 titles, averaging 1,500 titles per month. This represents 70% of the total manually produced serial titles[2] held by the UTK library in classification A through Z.

The UTK overall hit rate in the OCLC database was 85%. Of the total number of hits, 76% was ConSer records and 24% non-ConSer. Sample studies undertaken at the University of Florida, University of Tennessee and VPI projected that the overall hit rate with OCLC would be 94%. UTK's 85% hit rate is 9% lower than anticipated due to the increasing number of ceased publications in converted records.

The breakdown of the records converted by the Project is detailed in ''Cumulative Conser Management Statistics '' in Appendix B. The remaining 30% of the records not converted by the Project are estimated as follows:

5,000 titles not in the OCLC database
2,000 titles in OCLC database, but with problem records
2,500 titles in the OCLC database, to be converted by Student Assistants, with minor modifications

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[2]Approximately 32,000 titles are estimated for manually produced serial titles in the UTK Technical Quarterly Reports from March 1, 1982 to May 32, 1982.

Appendices C and D show the project results in relation to the entire serials holdings[3] currently held by the UTK library.

Conclusion

The Project strived for excellence and attained remarkable results through the combined efforts of the project staff and the library administrators. The project goal has been exceeded in quantitative measures. The quality control has been maintained throughout the project with competent and motivated personnel and maximum use of their expertise. We feel confident about the directions and methods in which we operated the project. The results were successful, yet much remains to be done.

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[3]Approximately 34,000 titles are estimated as total serials holdings in the UTK Technical Quarterly Reports from March 1, 1982 to May 31, 1982.

List of Staff

Project Coordinator:	
Sook-Hyun Kim	October 1, 1981 - December 23, 1982
Serials Catalogers:	
Carol Foggin	November 16, 1981 - December 23, 1982
Sue McCallum	August 1, 1982 - December 23, 1982
Library Specialists:	
Richard Steel	October 8, 1981 - October 9, 1981
Mary Lowry	October 13, 1981 - September 30, 1982
Library Assistants:	
Ann Flint	October 5, 1981 - March 20, 1982
Nancy Schnoebelen	July 25, 1982 - September 30, 1982
Student Assistants:	
Derex Maddox	October 1, 1981 - October 13, 1981 (23.5 hours)
Rob Hale	October 29, 1981 - December 23, 1982 (1004.5 hours)
Ron Dowdy	March 8, 1982 - April 30, 1982 (177 hours)
Ann Flint	March 21, 1982 - July 30, 1982 (449.9 hours)
Jeff Groah	June 7, 1982 - December 18, 1982 (528.9 hours)
Keith Joyce	September 17, 1982 - December 18, 1982 (296.8 hours)
Badul Islam	September 21, 1982 - September 28, 1982 (19.7 hours)
Kyung-ock Chun	September 27, 1982 - December 23, 1982 (341.2 hours)
Julie Irizarry	September 27, 1982 - December 20, 1982 (135.6 hours)

Total 2,977.1 student hours used for the Project.

OCLC

Appendix B

CONSER MANAGEMENT STATISTICS

CONSER PARTICIPANTS	PERIOD COVERED: Oct. 1, 1981 - Dec. 23, 1982	NETWORK: SOLINET	INSTITUTION: TKN	OPERATOR	DATE: Jan. 3, 1983
INPUT SOURCE (DLC lc)	NUMBER OF RECORDS MODIFIED / INPUT (DLC lcd)	NUMBER OF RECORDS LOCATION SYMBOL ONLY ADDED	NUMBER OF RELATED RECORDS MODIFIED	SUCCESSIVE ENTRY RECORDS BROKEN OUT: SINCE 1967	SUCCESSIVE ENTRY RECORDS BROKEN OUT: BEFORE 1967
NATIONAL CENTER (DLC, NLC)		2619			
ISDS		0			
CONSER PARTICIPANT		14501			
OTHER PARTICIPANT		5353			
INPUT USING LC COPY	45				
ORIGINAL CATALOGING	51				

	TO NATIONAL	TO ISDS	TO OCLC	TO OTHER
MODIFICATION REQUESTS/ ERROR REPORTS	245			
SURROGATES SENT	341			

	PROFESSIONAL	PARAPROFESSIONAL	CLERICAL	STUDENT ASSIST	OTHER
MAN HOURS CONTRIBUTED					

	LC	NLC	NSDP	ISDS/C	OTHER
CENTER OF RESPONSIBILITY					
NO. OF RECORDS AUTHENTICATED					
MODIFICATION REQUESTS PROCESSED					

REMARKS

CONSER (042- lc,lcd,nlc)	8937	OCLC	983
CONSER (042- nsdp,isds/c)	2720	Input	96
CONSER (042- gpo,msc,nst)	85		
CONSER claimed unauthenticated	9744		

TOTAL 22,569

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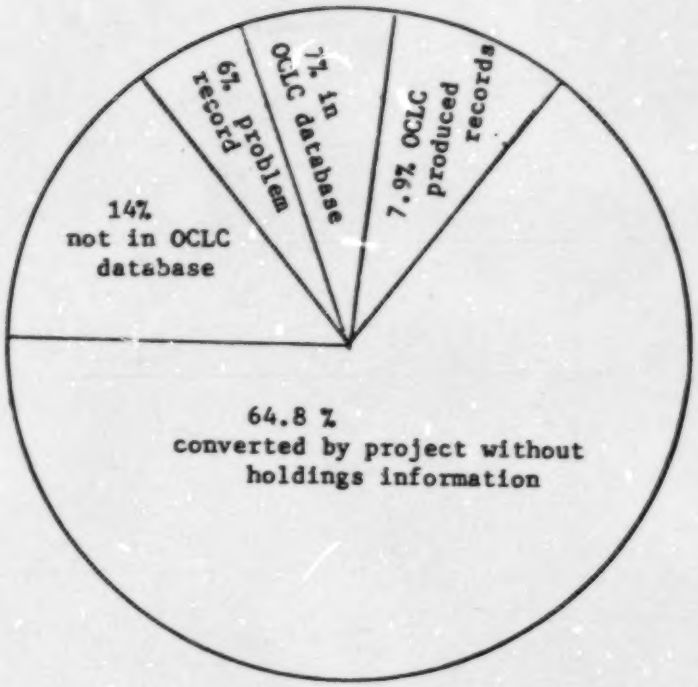
Current Conversion Status of

UTK Serials Holdings



22,569 titles converted by the project without holding information

2,752 titles already in OCLC database as of May 31, 1982

2,500 titles are available in OCLC database, but not converted yet

2,000 titles are in OCLC database, but problem records

5,000 titles are not in OCLC database

Appendix D

Shelflist Inventory *

Classification	Yellow Jackets	Red Jackets	Red Flags	OCLC	TOTAL
A	1293	119	173		2059
B	753	0	49		802
C	141	20	61		222
D	760	109	112		981
E	171	51	48		270
F	312	96	111		519
G	492	95	83		670
H	4199	773	1718		6690
J	437	434	96		967
K	159	10	27		196
L	918	242	503		1663
M	184	164	6		354
N	234	385	26		645
P	1191*	186	194		1571
Q	3244	256	223		3723
R	1103	142	162		1409
S	1845	651	530		3026
T	2857	82	247		3186
U	92	4	26		122
V	53	47	37		137
Z	1532	381	426		2329
	21,250 (-614)	4241	4558		31,541

* Number of shelflist cards, not titles

Yellow jackets : converted records
Red jackets : problem records
Red flags : not in OCLC database

Expenditures

October 1, 1981 - December 23, 1982

Personnel:			
	Serials Catalogers	$16,738.07	
	Library Specialist	$10,780.69	
	Library Assistants	$ 2,447.05	
	Student Assistants	$11,489.00	
		TOTAL PERSONNEL	$41,455.55
Fringe Benefits:			$ 2937.40
Travel:			$ 379.74 $807.74
Equipment:			$ 7,233.00
Supplies:			$ 1,319.18
Other:	Terminal maintenance/ Service charge	$ 1,092.56	
	OCLC record fee	$ 5,599.88 - 4313.19 = $5271.69	
	√ Telephone	$ 45.00	
	√ Postage	$ 37.02	
	Copy	$ 127.52	
	Other	$ 214.27	
		TOTAL OTHER	$ 7,116.25
			- 27.19
			7,088.06 + 295.45

Total Direct Charge
60,865
-60,800.93

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SOUTHEASTERN ARL LIBRARIES COOPERATIVE SERIALS PROJECT MANUAL

Prepared by Sook-Hyun Kim
Project Coordinator

University of Tennessee Library
Serials Department

Oct. 1981

Retrospective Conversion Manual

Project outline

Project personnel position summary

General procedures i - vii

MARC tag editing guide

- Fixed field 1 - 2
- 1xx and 7xx fields 4
- 245 field (identifing same titles described under different rules) 5 - 7
- 362 field data rearrangement 9
- 4xx field data preparation 10
- 5xx field local usage 15

Sample Forms

PROJECT OUTLINE

The University of Tennessee, Knoxville Library has received a Title II-c grant from the U.S. Dept. of Education for the fiscal year 1981 for the development of a regional resource sharing system for current serials.

The University of Tennessee, Knoxville Library will create a database of current serials titles and formulate a computer-interpretable notation for a detailed serials holding statement.

Since the grant is of limited duration, it is necessary to accomplish the conversion of approximately 10,000 current serials titles held by UTK Library during the project period. The conversion will be done through the OCLC bibliographic utility and will enable the UTK Library to progress toward the eventual goal of an on-line catalog system.

The project activities have been divided into the following three catagories: 1) Those records available in OCLC as a CONSER record, 2) Those records available in OCLC as a non-CONSER record, 3) Those records unavailable in OCLC. The staff will consist of one full-time Coordinator, one Library Specialist, one half-time Library Assistant and two Student Assistants. The Conversion activities will occur during the non-prime time of OCLC and will be subordinated to the Serials Dept., headed by Mary Jane Sharp.

During the project period the Coordinator will be responsible for directing the daily operations associated with the project and formulating effective plans to maintain not only high production levels, but also high bibliographic standards. In-depth documentation

will be maintained in the project manual, in addition to the monthly cataloging statistics, quarterly technical reports and end-of-year fiscal report to Dr. Gustave A. Harrer, Principal Investigator, Southeastern ARL Library Cooperative Serials Project.

PROJECT COORDINATOR

Position Summary:

Beginning in October, 1981, the Serials Dept. of UTK Library will undertake a Serials Project to convert current serials titles to machine-readable form using the OCLC system. The project, funded by a Title II-c grant, will last for one fiscal year with the possibility of subsequent renewal. The Project Coordinator will be responsible for directing the daily operations associated with the project and formulating effective plans to maintain not only high production levels, but also a high quality of bibliographic standards.

Responsibilities:

1. Developing effective programs to train new staff and assess the performance of project members and performance of individual staff.
2. Scheduling staff to provide for maximum utilization of equipment.
3. Interviewing applicants for positions and making recommendations concerning hiring and termination of individual staff members.
4. Compiling statistics and writing reports.
5. Attending the meetings related to the project.
6. Solving bibliographic problems and doing original cataloging.

Interacts with:

The Project Coordinator will work closely with regular, full-time cataloging staff in the Serials Dept. and occasionally will interact with members of other library units.

LIBRARY SPECIALIST

Position Summary:

The Serials Dept. of UTK Library will be engaged in a project to convert a conventional shelflist to machine-readable form, using the OCLC system. The full-time Library Specialist will assist the Project Coordinator in directing the daily operations, including scheduling of project staff, compiling statistics and solving bibliographic problems.

Work Performed:

1. Actual conversion activity.
2. Bibliographic problem solving.
3. Upgrading non-CONSER records during phase II period.
4. Training new students if needed.
5. Other related duties as assigned.
6. In charge of the project in the Coordinator's absence.

Reports to:

Project Coordinator.

Half-time LIBRARY ASSISTANT

Position Summary:

The Serials Dept. of UTK Library will be engaged in a serials project to convert a conventional shelflist to machine-readable form, using the OCLC system. The half-time Library Assistant will work closely with the Project Coordinator and Library Specialist to solve bibliographic problems brought to light during the course of the project. This position will require the ability to use the OCLC system and familiarity with cataloging tools, the serials holdings list and the shelflist.

Work Performed:

1. Actual conversion activity.
2. Searching for cataloging information.
3. Checking main entry information in card catalog, holdings statements in KX...etc.
4. Other related duties which require library technical services experience and familiarity with serials.

Reports to:

Project Coordinator.

STUDENT ASSISTANTS

Position Summary:

The Serials Dept. of UTK Library will be engaged in a serials project to convert a conventional shelflist to machine-readable form, using the OCLC system. Student Assistants will be responsible for converting all CONSER records during the phase I, but for only the serials holding statement of the 049 field during the phase II. Student Assistants must be productive, motivated and capable of following procedures.

Work Performed:

1. Search shelflist drawer for current serial titles.
2. Interpret location symbol and holdings statement on shelflist.
3. Search CONSER records in the OCLC database.
4. Input local call number, location symbol and conversion code.

Reports to:

Project Coordinator.

Cooperative Serials Project

Serials Dept., University of Tennessee Library

GENERAL PROCEDURES

Step 1 : We are going through the shelflist drawers, selecting only current serials publications, telling the computer which of our libraries has the serials.

Step 2 : Searching the OCLC data base for matching records. We will convert all CONSER-claimed records after full reviewing. Non-CONSER records will be disregarded during the initial phase, but shelflist card will be clipped with one red tab. If no record is found in OCLC, the shelflist card will be flagged indicating the search in OCLC was unsuccessful.

Step 3 : If a non-CONSER record meets all CONSER requirements in quality and AACR-2 adherence, we will forward the title to the CONSER Team at the University of Florida.

Step 4 : If no record is found in OCLC, search LC cataloging information in printed sources. If LC cataloging information is found in printed sources, prepare copy for input according to OCLC guidelines and CONSER guidelines. We will forward the surrogates to the CONSER Team at the University of Florida.

Step 5 : If cataloging information is not found in OCLC and not in printed sources, original cataloging will be needed to input. The following items will be clipped together and forwarded to the CONSER Team at the University of Florida.

a. Search form with copies of any information found in searching.

b. Printout of OCLC record input.

c. Surrogates (photocopies of title page, cover, masthead, introduction... etc.)

SEARCHING DATA BASE FOR MATCHING RECORD

1. Logging on.

   Key in ~~128-190-808~~ (including dashes)
   Depress SEND key (in order to send the message from the terminal to the computer)

2. Key in search code.

   a. Number search keys.

      ISSN (must include the dashes)
      CODEN (5 or 6 characters without punctuation marks)
      OCLC control number (preceded by a number sign #)
      SuDoc number (prefix gn:)
      LC card number (must include the dash)
      ISBN (does not include any dashes)

   b. Title search keys.

      3,2,2,1
      3,1,2,1
      3,1,1,1
      3,2,1,1

      The first three letters of the first non-article word of the title, followed by a comma, the first two letters of the second word of the title, followed by a comma, the first two letters of the third word of the title, followed by a comma, the first letter of the fourth word of the title.

   c. Name-title search keys. (Preceded by a equal sign = for corporate body)

      4,4
      4,3
      3,4
      3,3

      The first four letters of the author's last name, followed by a comma, the first four letters of the non-article word of the title.

   d. Name search keys.

      4,3,1
      4,2,1
      4,1,1
      4,3,
      4,2

      The first four letters of the author's last name, followed by a comma, the first three letters of the author's first name, followed by a comma, the middle initial (if known).

   e. Use stop list

   f. Search key/Qualifier

      /type (ser)
      /year (1975)
      /type/year
      /year/type

      Type qualifier must be used always, but not year. If record cannot be retrieved with date qualifier, enter search key again without date qualifier.

   g. Disregard an initial article in all languages.

3. Key in DISPLAY/SEND

SHELFLIST INTERPRETATION

1. Serials shelflist and holdings cards.

   Serials : Publications in successive parts bearing numerical designations and intend to be continued indefinitely. (Red jacket on)

   Closed entry for ceased publication : do not convert

   Open entry for current serial : A serial published more frequently than once a year will require receipt within the past 12 months. A serial published less frequently than once a year will require receipt within the last three years.

   Unknown status : Shelflist has open entry, but there is no indication whether the serial is currently being received or not. Check Kx or use save file.

2. Exclusive current serials :

   Free materials
   Monographic series
   Looseleaf publications
   Publications in pts but capable of being completed like dictionaries, encyclopedias ... etc.

3. Location symbol

   Law library : Not converting Law materials. If Law is mixed in with other locations, ignore it.

   Defunct library symbols

   Science-Engr.
   Physical Science
   Biological Science
   Biology
   Engineering
   Chemistry
   Science
   — Consider as Main

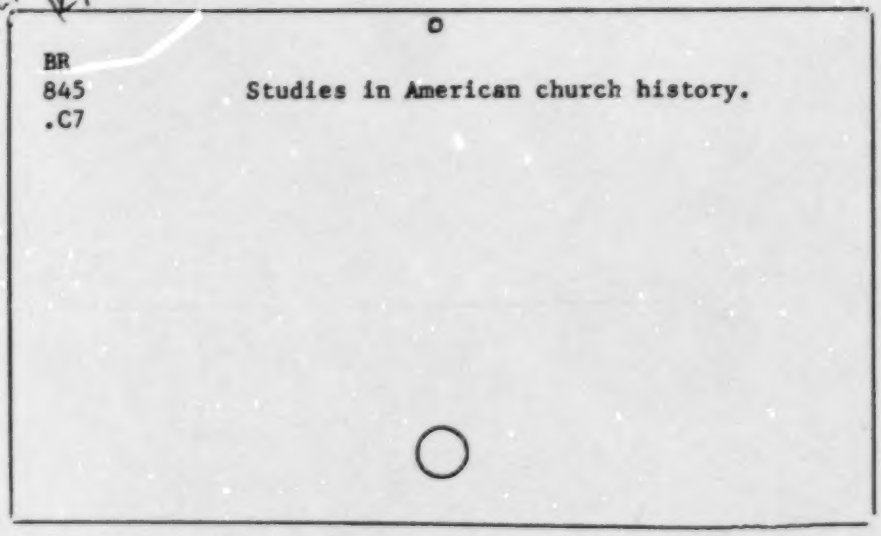
   Business Adm.
   Education
   Library School
   — Consider as Undergrad.

   Agriculture
   Exper. Sta.
   — Consider as Ag-VetMed

Defunct library symbols:

UT Press
Art Dept.
Classics Dept.
Psych. Ser. Center
Home Economic
Broadcasting
Sch. of Arch.
Museum
German Dept.
Romance Lang. Dept.
Dean Lib. Arts
Geology
Zool. Dept.
.
.
.
ETC.

Any of the above defunct library symbols should be handed to the Project Coordinator or Dept. Head.



* Added volumes.
— x Analyzed documents, monographs, etc.
✓ Updating contents and closed entry holdings notes.

Rev. Jan. '92

RECORD SELECTION PRIORITY

1. AUTHENTICATED SUCCESSIVE ENTRY
2. NON-AUTHENTICATED CONSER SUCCESSIVE ENTRY
3. NON-CONSER OCLC SUCCESSIVE ENTRY
4. AUTHENTICATED LATEST ENTRY
5. NON-AUTHENTICATED CONSER LATEST ENTRY
6. NON-CONSER OCLC LATEST ENTRY

SEARCH CONSER RECORDS

1. If any of the following codes appears in field 040 subfield 'c', d, consider the entry as a ConSer record (not DLC in subfield 'a')
   DLC, NSD, NLC, NLM, AGL, BTI, UCU, COO, FUG, FUL, GPO, GPA, HUL, UDI, MUL, NYG, SUL, YUS, IUL, IXA.

2. Presence of code in 042 field means that the record has been authenticated by that center.
   isds/c, lc, lcd, nlc, nsdp.

3. x preceding the code for a center indicates that the center does not consider the item as a serial. Should be referred to Project Coordinator before update function.

Sublocation code for UTK Library

1. Location symbols

   Main---TKNN
   Archives---tknb
   Main ref---tknr
   Main Non-Print---tknd
   Spec. Coll.---tknc
   Main Fiction---tknf (092 field)
   Main Thesis---tkni (099 field)
   UGL---tknu
   UGL Ref---tknj
   UGLFiction---tknt (092 field)
   UGL "B"---tknw (092 field)
   UGL Juv. Fiction---tkny (099)
   UGL Juv. Non-Fiction---tknx (092 field)
   UGL Easy Fiction---tknz (092 field)
   UGL Non-Print---tknk
   Ag-VetMed---tkna
   Ag-VetMed Thesis---tkn6
   Music---tknm
   Music Non-Print---tkn9
   Ag-VetMed Non-Print---tkn5

2. Insert correct holding library code in subfield 'a' of 049 field. 049 field may have multiple subfield 'a'.

CHECKING FIXED FIELD AREA

TKN : Though TKN symbol appears on the screen, the record should be re-updated if the shelflist card does not show the evidence of having been converted. Refer to Project Coordinator before update function.

TYPE : a (Language materials, printed)
Do not use the record, if the symbol is other than 'a'

BIB LVL : s (Serials) m (Monographs)
Do not convert but put green jacket on the shelflist instead of red one, if the symbol is m.

LANG : (Three character code for the language of the work)
Error in language code must be brought to Project Coordinator's attention before update function.

REP : ␣
a (Microfilm) r (Reproduction)
c (Microfiche)

PUB ST : c (Current serials - if issue has been received within the last three years)
d (Ceased publication - do not convert)
u (Status unknown - check Kx information or refer to Project Coordinator)

S/L ENT : 0 (Successive entry)
1 (Latest entry)
Variations in cataloging rules should be referred to Project Coordinator.

DATE : Beginning date - Ending date
Check against 362 field, except title change case

SER TP : m (Monographic series - do not convert)
p (Periodical)
n (Newspaper)
␣ (None of the above)

* Sometimes our short form of shelflist card does not have any indication about "Reprint ed." So whenever OCLC database has a record of reprint edition, please check the main entry card in card catalog for reproduction status.

CALL NUMBER

1. Ignore call numbers in fields other than 050 or 090 fields.
2. If call number in 050 field on screen matches call number on shelflist card, accept as is.
3. If call number in 050 field on screen does not match, add call number to 090 field.
4. If call number in 090 field on screen does not match, adjust it.
5. If two call numbers are present in 050 field, remove one of them.
6. If there is no call number on screen, add call number to 090 field.
7. If both field 050 and field 090 are present on screen and call number in 090 field matches, accept as is.
8. If both field 050 and field 090 are present on screen and call number in 050 field matches, delete 090 field (rare case).
9. Call number in 090 field is overriding call number in 050 field.
10. If two 090 fields are present, use the one next to the 049 field.
11. Input call number in 090 field :

    FS2161 ♦b .B63

    HM5549.R44 ♦b M35

12. If you have problems in call number area, use save file.

1xx FIELD AND 7xx FIELD: NAME HEADINGS

Rev. 3/31/82 4

A. ACCEPT DIFFERENCES IN CHOICE OF ENTRY

If our 1xx field is a 7xx field on the screen and our 7xx field is a 1xx field on the screen, or our 1xx field is a 7xx field and title is the main entry or vice-versa, the record on the screen will be accepted. As long as all the information on our shelflist card is on the screen, only on a different field, the record on the screen will be accepted.

B. DO NOT ACCEPT DIFFERENCES IN FORM OF ENTRY

1. Accept AACR-2 form over pre-AACR2.
   a. Identify AACR-2 form through the subfield "w" in name and uniform title heading fields.
   b. The code "m.c." in field 040, subfield "d", indicates that headings in the record have been converted to AACR-2 form by the OCLC system.
   c. Fixed field "Desc: a" means that materials are cataloged according to AACR-2.
   d. If the name entry is in AACR-2 form, 871 field may contain the AACR 1 form of name.
2. If an AACR-2 form cannot be verified by anything on the screen, verify the heading through our Name Authority File or LC Name Authority Record in OCLC.
3. If there are discrepancies and the AACR-2 form cannot be identified by any of the above means, check our card catalog and refer to Project Coordinator.
4. Project Coordinator will make decision for the additional authority work on that particular entry.

C. ACCEPT THE FORM OF THE LC AUTHENTICATED ENTRY WITHOUT VERIFICATION, BUT NOT NSDP, GPO, ISDS, MSC, OR NST AUTHENTICATED ENTRIES.

TITLE PROPER in 245 field

A. Accept a full title instead of short title, partial title, or truncated title.

1. Accept as is, if corporative body name appeared as an integral part of the title instead of truncated title.
   OCLC: Journal of the American Academy of Psychiatry.
   S.L.: Journal.
2. Accept as is, if the title is formulated by the combination of the generic title and the authorship statement instead of generic title.
   OCLC : Proceedings - National Academy of Education.
   S.L. : Proceedings.
3. Accept as is, if initials and acronym followed by the title in full instead of an expanded title only.
   OCLC : MRQ, The Minnesota Reading quarterly.
   S.L. : Minnesota reading quarterly. / or MRQ.
4. Accept as is, if a common title followed by a section title, instead of section title as a title proper and a common title as series.
   OCLC : Current population reports : Population characteristics.
   S.L. : Population characteristics. (Current population reports as series in tracing.)*

B. Accept the title of reports as a full title, if an adjective denoting the frequency of the publication is added.
   OCLC : Annual report
   S.L. : Report

   OCLC : Biennial report
   S.L. : Report

   OCLC : Monthly financial statement
   S.L. : Financial statement

If the OCLC record excludes former entries but our record includes former entries:

1. Update the successive title entry record;
2. Don't update preceding entry record, but write down its OCLC number on shelflist card in parentheses.

This will create a discrepancy between the card catalog record and the on-line record. But as long as we know the conversion status of the title, we can update the preceding entry later.

EDITING THE RECORD

245 field : title area

1st indicator 0 : do not print
1 : print

2nd indicator : filing indicator (add, if not present)

‡c : Authorship statement (Some OCLC records or our shelflist cards lack the information of authorship statement. No attempt should be made for addition or deletion in this area)

‡b : Ignore all kinds of subtitle.

250 field : Edition statement should be matched

260 field : Imprint area

If our shelflist card does not have imprint information and the OCLC screen has more than one record with different imprint informations, main entry card should be checked, or refer to Project Coordinator.

Variations in imprint will be accepted, if

300 field : Physical description area

If there is an oversize symbol front of call number, the size must be present in subfield 'c'. Otherwise the record on the screen lacking only subfield 'c' will be converted as is.

If 300 field is missing, add full information from main entry card.

350 field : Subscription price within last 3 years.

If 350 field has free material indication, do not convert.

362 FIELD

362 0 Formatted style

362 1 Unformatted style

Date given in field 362 should be the true beginning date, not estimated date, and should match the date in fixed field one.

If there are descrepancies between the OCLC record and our shelflist card, refer to the Project Coordinator, except in case of title change.

1. If the library has the first issue and the date given in field 362 field is not the same one, make surrogates (photocopies of title page, cover, masthead, etc.
2. If the library does not have the first issue and the date given in field 362 field is not the same one, search NUC, NST, or other cataloging information sources and make printouts.
3. If the library has the first issue and field 936 presents or not, accept the formatted style in 362 field.
4. If the library does not have the first issue and field 936 does not present, accept the formatted style as is.
5. If the library does not have the first issue and field 936 presents, accept the unformatted style as is.

SERIES

1. All series information in the 4xx field, 500 field, and/or 8xx field except publisher's series should be checked against the SAF for proper format and decision.
   Printouts should be made for entries not found in the SAF. A printout should also be made if no decision was made, or if there are no location symbols on the card.

2. Since complete cross references are not available in the SAF, all possible access points of series should be checked against the SAF.

3. If publisher series is tagged as other than 490 0, check the SAF. If it is not in the SAF, a printout should be made.

4. The volume numbering on the screen should be accepted as is unless the SAF indicates otherwise.

5. Unusual or conflicting instructions in the SAF should be brought to a supervisor's attention or a printout should be made.

6. Change AACR-2-derived series entries to match SAF form.

7. SAF decision overrides the main entry decision and form.

8. OCLC equivalents for SAF notes:

SAF notes	OCLC fields
Cataloged as separates	400 field : Series traced, personal name/title 410 field : Series traced, corporate name/title 411 field : Series traced, conference name/title 440 field : Series traced, title 490 1✓ : Series traced, in a different form. The traced form of the series appears in the 8xx field. The entry in the 8xx field should match the entry on the SAF card.
Series not used	490 0✓ Series not traced

9. If the SAF note and the OCLC field disagree, change the OCLC field to match the SAF.

OCLC FIELDS	OCLC MEANINGS	SAF NOTES
400 field	Series traced, personal name / title	Cataloged as separates
410 field	Series traced, corporate name/title	
411 field	Series traced, conference name/title	
440 field	Series traced, title	
490 1# field	Series traced, in a different form. The traced form of the series appears in the 8xx field. The entry in the 8xx should match the entry on the SAF card.	
490 0# field	Series not traced	Series not used

OCLC tag	Shelf-list	SAF	Action
410 or 440			Make print-out
490 0	Series traced		Change tag to 410, 440, or 490 1 with 8xx field (add sub-field code)
490 0	Series not traced		Update as is
490 0		Cat. as series with analytics or Cat. as separates	Change tag to 410, 440, or 490 1 with 8xx field
490 0		Series not used	Update as is
490 0 or 490 1 8xx			Update if it is publisher series, otherwise make print-out

OCLC tag	Shelf-list	SAF	Action
490 1 8xx	Series traced (and match series statement and entry form)		Update as is
490 1 8xx	Series traced (but not match)		Change tag to 410 or 440 and delete 8xx field, or change entry form in 8xx field (add sub-field code)
490 1 8xx	Series not traced		Change tag to 490 0 and delete 8xx field
490 1 8xx		Series used (and entry form in 8xx field match SAF form)	Update as is
490 1 8xx		Series used (but entry form in 8xx field does not match SAF form)	Change entry form in 8xx field to SAF form
490 1 8xx		Series not used	Change tag to 490 0 and delete 8xx field.

OCLC tag	Shelf-list	SAF	Action
410 or 440	Series traced		Update as is
410 or 440	Series traced but different form		Change tag to 490 1 and add 8xx field with UTK entry form (delete and add sub-field code)
410 or 440	Series not traced		Change tag to 490 0 (delete sub-field code)
410 or 440		Cat. as series with analytics or Cat as separates	Update as is
410 or 440		Cat. as separates, but different form	Change tag to 490 1 and add 8xx field with SAF entry form (delete and add sub-field code)
410 or 440		Series not used	Change tag to 490 0 (delete sub-field code)

5xx FIELDS

525 field Supplement notes: (Accept as is).

530 field Additional physical forms available notes (delete).

555 field Cumulative index note : (Since UTK uses this area note for holdings information instead of bibliographic information, deletion and addition are necessary. But at present, we will accept it as is.)

6xx FIELD

1. If there are no 6xx fields with 2nd indicator 0, check card catalog or shelflist card and provide the subject headings in 69x field.
2. If there are too many 6xx fields with 2nd indicator 0, save for the Project Coordinator.
3. If there are 69x with 2nd indicator 9, delete the local subject headings.
4. We will provide the local subject headings in following case :
   NEWSPAPER (indirect)
   Special Collection materials

6xx FIELD

1. If there are no 6xx, 2nd ind. 0, check card catalog or SL and provide the subject heading in 69x field.
2. If there are too many 6xx fields, 2nd ind. 0 save for project coordinator.
3. If there are 69x, 2nd ind. 9, delete the local subject headings.
4. We are accepting local subject headings only in following case:

   NEWSPAPER (indirect)

910 field

Insert the conversion code in 910 field.

sc81 or sc82

BEFORE UPDATING THE RECORD BE SURE THAT:

1. Call number on screen matches call number on shelflist card.
2. 049 field has correct holding library code.
3. 910 field has sc81 or sc82 code.
4. Keep statistics.
5. Write down OCLC number on lower right corner of shelflist card.

Seri

SOLINET MEMORANDUM 1982-21

Pre-AACR2 Descriptive cataloging

When transcribing retrospective cataloging, series heading may be changed from pre-AACR2 to AACR2 choice and form of entry. (The Library of Congress has indicated that is will change pre-AACR2 series heading is being used in current cataloging)

When changing a series heading to AACR2.

1) code "Mod rec" as "m"

2) enter a subfield "w" into the field containing the series heading unless subfield "w" is not valid for the field (e.g. 830) in which case do not enter subfield "w".

NEW RECORDS FOR DATA BASE

1. All flagged shelflist cards will be searched in printed materials for LC cataloging information.

2. OCLC guidelines or/and CONSER guideline will be followed as input standards.

3. Level of description will be an augumented level 1.

4. AACR-2 must be used for any current cataloging input - particularly AACR-2 form of name heading.

5. Following areas are mandatory fields :

   Fixed fields : Lang Source S/L entry
   Repr Enc lvl Ctry
   Freq Pub st
   Desc Reglr Dates

   Variable fields : 040 041
   100 110 111 130
   245 246 247
   250 260
   530 547 533 (530 field information for master record)
   580
   700 710 711 730 780 785

6. Make surrogates

RECON - SAVE FILE

Name_____

Date_____

Call no.:	Save file no.:	Problem:

SEARCH FORM*

OCLC Institution Symbol:

Date of search:

Author/Title:

ONLINE

search keys used:

OCLC nos. for successive/latest record(s):

OCLC nos. for related record(s):
(ie., title changes, different editions, different formats, etc.)

OCLC nos. for multiple records:

Authority search NAF record no.:

OFFLINE

entries searched under:

Bansell vol._____ page no._____

NUC(s) year(s)_____vol._____page no._____

NST(s) year(s)_____vol._____page no._____

ULS vol._____ page no._____

Ulrich's year_____ page no._____

Irregular Serials and Annuals year_____ page no._____

Other:

*Please attach to surrogate printouts of input record with OCLC no. and any photocopies and printouts generated in the search.

**Conventions: Use 0 (or ∅) for no hits;
for found items

12-10-81

OCLC BEST COPY AVAILABLE

CONSER MANAGEMENT STATIST

CONSER PARTICIPANTS	PERIOD COVERED	NETWORK	INSTITUTION	OPERATOR	DATE
INPUT SOURCE (Mark 1c)	NUMBER OF RECORDS MODIFIED / INPUT (Mark 1d)	NUMBER OF RECORDS LOCATION SYMBOL ONLY ADDED	NUMBER OF RELATED RECORDS MODIFIED	SUCCESSIVE ENTRY RECORDS BROKEN	
				SINCE 1967	BEFORE 1967
NATIONAL CENTERS (DLC, NLC)					
ISDS					
CONSER PARTICIPANT					
OTHER PARTICIPANT					
INPUT USING LC COPY					
ORIGINAL CATALOGING					

	TO NATIONAL	TO ISDS	TO OCLC	TO OTHER
MODIFICATION REQUESTS/ ERROR REPORTS				
SURROGATES SENT				

	PROFESSIONAL	PARAPROFESSIONAL	CLERICAL	STUDENT ASSIST	OTHER
MAN HOURS CONTRIBUTED					

CENTER OF RESPONSIBILITY	LC	NLC	NSDP	ISDS/C	OTHER
NO OF RECORDS AUTHENTICATED					
MODIFICATION REQUESTS PROCESSED					

REMARKS: CONSER (042-lc,lcd,nlc)
CONSER (042-nsdp,isds/c)
CONSER (042-gpo,msc,nst)
CONSER claimed unauthenticated

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SERIALS CONVERSION PROJECT

Daily Statistics for ConSer Records

040 =c input source	number of records
national centers DLC, NLC	
ISDS	
ConSer participants	
Other participants	

042 field		
lc,lcd (plus any other authenticating symbols)		
nsdp (plus any other designations not including lc,lcd)		
Other codes (isds/c, nlc ...)		
Non-authenticated records		OCLC